

# DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

## AN APPARATUS FOR TRADING OF BUNDLED ASSETS INCLUDING BUNDLE SUBSTITUTION AND METHOD THEREFOR

the specification of which (check one)

- ☒ is attached hereto.
- ☐ was filed on \_\_\_\_\_  
as Application Serial No. \_\_\_\_\_  
and was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed

\_\_\_\_\_  
(Number)                      (Country)                      (Day/Month/Year)

☐ Yes    ☐ No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial #)	(Filing Date)	(Status)
(Application Serial #)	(Filing Date)	(Status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and to file and prosecute any international patent applications filed thereon before any international authorities under the Patent Cooperation Treaty.

Kelly K. Kordzik, Reg. No. 36,571; Barry S. Newberger, Reg. No. 41,527; Gregory W. Carr, Reg. No. 31,093; Ross S. Garsson, Reg. No. 38,150; Philip T. Golden, Reg. No. 37,631; Elizabeth R. Hall, Reg. No. 37,344; Bruce C. Lutz, Reg. No. 20,660; James J. Murphy, Reg. No. 34,503; Kevin L. Smith, Reg. No. 38,620; and Karen B. Tripp, Reg. No. 30,452.

Send correspondence to: James J. Murphy, 5400 Renaissance Tower, 1201 Elm Street, Dallas, Texas 75270-2199, and direct all telephone calls to Kelly K. Kordzik, (512) 370-2851.

18608-P001C1

PATENT

100  
FULL NAME OF FIRST INVENTOR: JAN STALLAERT

INVENTOR'S SIGNATURE: Jan Stallaert

DATE: April 21, 1998

RESIDENCE: **2611 Bee Caves Road, #146**  
**Austin, County of Travis, Texas, 78746**

CITIZENSHIP: **Belgium**

POST OFFICE ADDRESS: (Same as Residence)

200  
FULL NAME OF SECOND INVENTOR: ANDREW BERNARD WHINSTON

INVENTOR'S SIGNATURE: Andrew Bernard Whinston DATE: APRIL 22, 1998

RESIDENCE: **6002 Mountain Villa Drive**  
**Austin, County of Travis, Texas 78731**

CITIZENSHIP: **U.S.A.**

POST OFFICE ADDRESS: (Same as Residence)

300  
FULL NAME OF THIRD INVENTOR: GLENN WILLIAM GRAVES

INVENTOR'S SIGNATURE: Glenn William Graves DATE: April 24, 1998

RESIDENCE: **3642 Seahorn**  
**Malibu, County of Los Angeles, California 90265**

CITIZENSHIP: **U.S.A.**

POST OFFICE ADDRESS: (Same as Residence)

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Applicants: Jan Stallaert et al  
Serial No:  
Filed: (herewith)  
Title: AN APPARATUS FOR TRADING OF BUNDLED ASSETS INCLUDING BUNDLE SUBSTITUTION AND METHOD THEREFOR

Attorney's Docket No. 18608-P001C1

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37 C.F.R. §§ 1.9(f) and 1.27(c)) -- SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: Omega Consulting, Inc.

Address of Small Business Concern: 3642 Seahorn, Malibu, California 92065 90265

I hereby declare that the above-identified small business concern qualifies as a small business concern, as defined in 13 C.F.R. § 121.12, and reproduced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to, and remain with, the small business concern identified above, with regard to the invention described in

- ☐ the specification filed herewith, with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor(s), who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c), if the person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

Each such person, concern or organization having any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.  
☐ Each such person, concern or organization is listed below:

Name: (N/A)

Address: \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name: (N/A)

Address: \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Jan Stallaert

Title of Person, if Other Than Owner: Vice President

Address of Person Signing: 2611 Bee Caves Road, #146, Austin, Texas 78746

SIGNATURE: Jan Stallaert

Date: April 21, 1998